

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hong (nmn) Zhong

Serial No.: 10/814,445

Filed: March 30, 2004

For Thermally Conductive Compositions and Methods of Making Thereof



Group Art Unit: 1774

Examiner:

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP PATENT APPLICATION  
COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

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Date of Deposit\_\_\_\_\_  
Type or Print Name\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

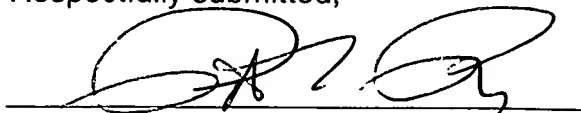
- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below;
- ☐ 9 <sup>or</sup> The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

12/6/04  
Date

General Electric Company  
GEGP Patent Docket Rm. Bldg. K-1 Rm. 4A59  
One Research Circle  
Niskayuna, New York 12309  
Customer Number: 006147

Respectfully submitted,



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FORM PTO-1449  
(REV. 7-83)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

124932

SERIAL NO.

10/814,445

INFORMATION DISCLOSURE STATEMENT BY APPLICANT--  
PATENT & TRADEMARK OFFICE

Applicant

Hong (nmn) Zhong

Filing Date

Group

1774

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 4 1 4 7 6 6 9	04/03/79	Shaheen et al.			
	AB 5 0 5 6 7 0 6	10/15/91	Dolbear et al.			
	AC 5 0 6 2 8 9 6	11/05/91	Huang et al.			
	AD 5 4 4 5 3 0 8	08/29/95	Nelson et al.			
	AE 6 6 2 4 2 2 4	09/23/03	Misra			
	AF 6 7 9 1 8 3 9	09/14/04	Bhagwagar			
	AG					
	AH					
	AI					
	AJ					
	AK					

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	AL 0 2 0 9 1 3 9 5	05/07/02	PCT				
	AM 0 3 0 0 7 3 1 2	05/20/02	PCT				
	AN 0 6 9 6 6 3 0	12/05/95	EPO				
	AO 1 1 4 3 5 1 1	03/03/01	EPO				
	AP 1 1 4 3 5 1 2	03/03/01	EPO				

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

AR	US Patent Application Publication 2003/0027910A1, entitled "Morphing Fillers and Thermal Interface Materials", Sanjay Misra et al., published 2/6/03
AS	US Patent Application Publication 2003/0077478A1, entitled "Thermal Interface Material and Electronic Assembly Having Such a Thermal Interface Material, Ashay A. Dani et al., published 4/24/03
AT	"Hybrid Organic Inorganic Materials - in Search of Synergic Activity" by Pedro Gomez-Romero, Advanced Materials, 2001, Vol. 13, No.3, pp. 163-174

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered  
Include copy of this form with next communication to applicant.

FORM PTO-1449  
(REV 7-83)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.

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SERIAL NO.

10/814,445

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

LIST OF ITEMS

(Use several sheets if necessary)

Applicant

Hong (nmn) Zhong

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	BA					
	BB					
	BC					
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	BE					
	BF					
	BG					
	BH					
	BI					
	BJ					
	BK					

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	BL						
	BM						
	BN						
	BO						
	BP						

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

BR	"Inorganic Clusters in Organic Polymers and the Use of Polyfunctional Inorganic Compounds as Polymerization Initiators" by Guido Kickelbick and Ulrich Schubert, Monatshefte fur Chemie, 2001, Vol. 132, pp. 13-30
BS	"Synthesis and Application of Inorganic/Organic Composite Materials", by Helmut Schmidt, Macromolecular Symposia, 1996, Vol. 101, pp. 333-342
BT	"Synthesis of Nanocomposite Organic/Inorganic Hybrid Materials Using Controlled/ 'Living' Radical Polymerization" by Jeffrey Pyun and Krzysztof Matyjaszewski, Chemistry of Materials, 2001, Vol. 13, pp.3436-3448

EXAMINER

DATE CONSIDERED

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